

**DECLARATION****INVENTORSHIP IDENTIFICATION**

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below, next to my name. I believe that I am the original, first and sole inventor (*if only one name is listed below*) or an original, first and joint inventor (*if plural names are listed below*) of the subject matter that is claimed, and for which a patent is sought on the invention entitled:

**CATALYTIC PROCESSES FOR THE CONTROLLED POLYMERIZATION OF FREE RADICALLY  
(Co)POLYMERIZABLE MONOMERS AND FUNCTIONAL POLYMERIC SYSTEMS PREPARED THEREBY**

**TITLE OF INVENTION****SPECIFICATION IDENTIFICATION**

the specification of which:

- (a) ☐ is attached hereto.
- (b) ☒ was filed on March 23, 2000, as ☒ Serial No. 09/534,827  
☐ and was amended on (if applicable).
- (c) ☐ was described and claimed in PCT International Application No.    filed on     
☐ and was amended on    (*if applicable*).

**ACKNOWLEDGMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR**

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims as amended by any amendment referred to above.

I acknowledge the duty to disclose information, which is material to patentability as defined in 37, Code of Federal Regulations, § 1.56.

**PRIORITY CLAIMS UNDER 35 U.S.C. § 119(a)-(d)**  
(Prior Foreign/Pct Application(S) Filed Within 12 Months  
(6 Months For Design) Prior To This Application)

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate(s) or 365(a) of any PCT international application(s) which designated at least one country other than the United States of America, listed below and have also identified below any foreign application(s) for patent or inventor's certificate(s) or any PCT international application(s) having a filing date before that of the application(s) of which priority is claimed.

Application Number	Country or PCT	Date Of Filing (Day, Month, Year)	Priority not Claimed	Certified Copy Attached?
			<input type="checkbox"/>	<input type="checkbox"/> YES <input type="checkbox"/> NO

**CLAIM FOR BENEFIT OF PRIOR U.S. PROVISIONAL APPLICATION(S) UNDER 35 U.S.C. § 119(e)**

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below:

Provisional Application Number	Filing Date
60/125,809	March 23, 1999
60/142,980	July 12, 1999

**CLAIM FOR BENEFIT OF EARLIER US/PCT APPLICATION(S) UNDER 35 U.S.C. 120**  
(All Foreign Application(S), If Any, Filed More Than 12 Months  
(6 Months For Design) Prior To This U.S. Application)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or 365(c) PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37, Code of Federal Regulations, § 1.56, which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application.

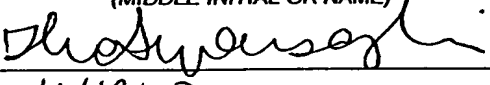
U.S Parent Application No.	PCT Parent Application No.	Date Of Filing (Day, Month, Year)	Parent Patent No. (If applicable)

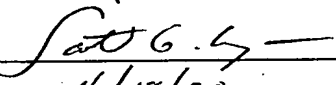
**DECLARATION**

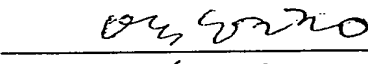
I hereby declare that my presentation of this paper constitutes a certification under 37 C.F.R § 10.18, which provides, in part, that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and that further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful statements may jeopardize the validity of the application and any patent issuing therefrom.

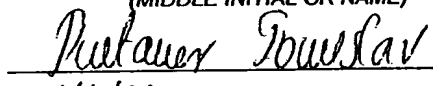
## SIGNATURE(S)

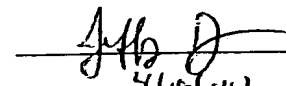
## Inventor(s)

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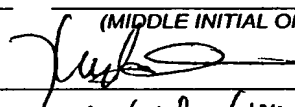
Jian \_\_\_\_\_ Qiu \_\_\_\_\_  
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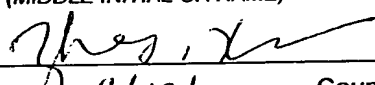
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Peter J. Miller  
(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)  
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Date 4/28/00 Country of Citizenship USA  
Residence Imperial, PA 15126  
Post Office Address: 140 Forest Glen Drive, Imperial, PA 15126

- ☐ Signature by administrator(trix), or legal representative for deceased or incapacitated inventor. Number of pages added \_\_\_\_\_.
- ☐ Signature for inventor who refuses to sign or cannot be reached by person authorized under 37 CFR 1.47. Number of pages added \_\_\_\_\_.
- ☐ Added page for signature by one joint inventor on behalf of deceased inventor(s) where legal representative cannot be appointed in time. (37 CFR 1.47) Number of pages added \_\_\_\_\_.
- ☐ Authorization of attorney(s) to accept and follow instructions from representative.
- ☒ This declaration ends with this page.



## DECLARATION OR OATH

- II. ☒ No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

NOTE: If the correct inventor or inventors are not named on filing a nonprovisional application under § 1.53(b) without an executed oath or declaration under § 1.63, the later submission of an executed oath or declaration under § 1.63 during the pendency of the application will act to correct the earlier identification of inventorship. 37 C.F.R. § 1.48(f)(1).

## OR

- ☐ The declaration or oath that was filed was determined to be defective. A new original oath or declaration is attached.

NOTE: For surcharge fee for filing declaration after filing date complete item VI(3) below.

NOTE: "The following combinations of information supplied in an oath or declaration filed after the filing date are acceptable as minimums for identifying a specification and compliance with any one of the items below will be accepted as complying with the identification requirement of 37 C.F.R. 1.63:

"(1) name of inventor(s), and application number (consisting of the series code and the serial number; e.g., 08/123,456);

"(2) name of inventor(s), serial number and filing date;

"(3) name of inventor(s) and attorney docket number which was on the specification as filed;

"(4) name of inventor(s), title which was on the specification as filed and filing date;

"(5) name of inventor(s), title which was on the specification as filed and reference to an attached specification which is both attached to the oath or declaration at the time of execution and submitted with the oath or declaration; or

"(6) name of inventor(s), title which was on the specification as filed and accompanied by a cover letter accurately identifying the application for which it was intended by either the application number (consisting of the series code and the serial number; e.g., 08/123,456), or serial number and filing date. Absent any statement(s) to the contrary, it will be presumed that the application filed in the PTO is the application which the inventor(s) executed by signing the oath or declaration."

Notice of Jul. 13, 1995 (1177 O.G. 60); M.P.E.P. § 601.01(a), 6<sup>th</sup> ed., rev. 3.

NOTE: Another minimum found acceptable in the declaration is the filing date (i.e., date of express mail) and the express mail number, useful where the serial number is not yet known. But note the practice where the express mail deposit is a Saturday, Sunday or holiday within the District of Columbia. 37 C.F.R. 1.10(c).

(complete (c) or (d), if applicable)

Attached is a

- (c) ☒ Statement by a registered attorney that the application filed in the PTO is the application that the inventor executed by signing the declaration.
- (d) ☐ Statement that the "attached" specification is a copy of the specification and any amendments thereto that were filed in the PTO to obtain the filing date.

## AMENDMENT CANCELLING CLAIMS

- III. ☐ Cancel claims \_\_\_\_\_ inclusive.

**TRANSMITTAL OF ENGLISH TRANSLATION  
OF NON-ENGLISH LANGUAGE PAPERS**

- IV. ☐ Submitted herewith is an English translation of the non-English language application papers as originally filed. Also submitted herewith is a statement by the translator of the accuracy of the translation. It is requested that this translation be used as the copy for examination purposes in the PTO.

*NOTE: For fee processing a non-English application, complete item VI(5) below.*

*NOTE: A non-English oath or declaration in the form provided by the PTO need not be translated. 37 C.F.R. 1.69(b).*

**SMALL ENTITY STATUS**

- V. ☐ A statement that this filing is by a small entity  
*(check and complete applicable items)*

- ☐ is attached.
- ☐ A separate refund request accompanies this paper.
- ☐ was filed on \_\_\_\_\_ (original).

**COMPLETION FEES**

**VI.**

**WARNING:** Failure to submit the surcharge fees where required will cause the application to become abandoned.  
37 C.F.R. 1.53.

**NOTE:** For effect on fees of failure to establish status, or change status, as a small entity, see 37 C.F.R. 1.28(a).

**1. Filing fee**

- ☐ original patent application  
(37 C.F.R. 1.16(a)—\$760.00; Small entity—\$380.00)\$ \_\_\_\_\_
- ☐ design application  
(37 C.F.R. 1.16(f)—\$310.00; small entity—\$155.00) \$ \_\_\_\_\_  
\$ \_\_\_\_\_

**2. Fees for claims**

- ☐ each independent claim in excess of 3  
(37 C.F.R. 1.16(b)—\$78.00; small entity—\$39.00) \$ \_\_\_\_\_
- ☐ each claim in excess of 20  
(37 C.F.R. 1.16(c)—\$18.00; small entity—\$9.00) \$ \_\_\_\_\_
- ☐ multiple dependent claim(s)  
(37 C.F.R. 1.16(d)—\$270.00; small entity—\$135.00) \$ \_\_\_\_\_

### 3. Surcharge fees

☐ late payment of filing fee

and/or

☒ late filing of original declaration or oath  
(37 C.F.R. 1.16(e)—\$130.00; small entity—\$65.00); \$130.00

NOTE: Even where a facsimile declaration or oath signed by the inventor(s) was part of the originally filed papers, the surcharge fee is required.

NOTE: If both the filing fee and declaration or oath were missing from the original papers, only one surcharge fee for both need be paid. 37 C.F.R. 1.16(e).

4. ☐ Petition and fee for filing by other than all the inventors or a person not the inventor (37 C.F.R. 1.17(i) and 1.47—\$130.00) \$ \_\_\_\_\_

5. ☐ Fee for processing an application filed with a specification in a non-English language (37 C.F.R. 1.17(k) and 1.52(d)—\$130.00) \$ \_\_\_\_\_

6. ☐ Fee for processing and retention of application (37 C.F.R. 1.21(l) and 1.53(d)—\$130.00) \$ \_\_\_\_\_

7. ☐ Assignment (See "ASSIGNMENT COVER SHEET".)

NOTE: 37 C.F.R. 1.21(l) establishes a fee for processing and retaining any application which is abandoned for failing to complete the application pursuant to 37 C.F.R. 1.53(f) and this, as well as, the changes to 37 C.F.R. 1.53 and 1.78 indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee or the processing and retention fee of § 1.21(l) within 1 year of notification under § 1.53(f) must be paid.

Total completion fees \$130.00

### EXTENSION OF TIME

#### VII.

(complete (a) or (b), as applicable)

The proceedings herein are for a patent application, and the provisions of 37 C.F.R. 1.136(a) apply.

(a) ☐ Applicant petitions for an extension of time, the fees for which are set out in 37 C.F.R. 1.17(a)(1)-(4), for the total number of months checked below:

Extension (months)	Fee for other than <u>small entity</u>	Fee for <u>small entity</u>
<input type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 380.00	\$190.00
<input type="checkbox"/> three months	\$ 870.00	\$435.00
<input type="checkbox"/> four months	\$1,360.00	\$680.00
		Fee \$ _____

If an additional extension of time is required, please consider this a petition therefor.  
(check and complete the next item, if applicable)

- ☐ An extension for \_\_\_\_\_ months has already been secured, and the fee paid therefor of \$ \_\_\_\_\_ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$ \_\_\_\_\_

or

- (b) ☒ Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

**TOTAL FEE DUE**

**VIII.**

The total fee due is

Completion fee(s)	\$ <u>130.00</u>
Extension fee (if any)	\$ <u>-0-</u>

Total Fee Due \$130.00

**PAYMENT OF FEES**

**IX.**

- ☒ Enclosed is a check in the amount of \$ 130.00
- ☐ Charge Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_  
A duplicate of this request is attached.

**NOTE:** Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 C.F.R. 1.22(b).

Please charge Account No. 11-1110 for any fees that may be due by this paper.

**AUTHORIZATION TO CHARGE ADDITIONAL FEES**

**X.**

**WARNING:** Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges if extra claims are authorized.

**NOTE:** "Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).

- ☒ The Commissioner is hereby authorized to charge the following additional fees that may be required by this paper and during the pendency of this application to Account No. 11-1110.
- ☒ 37 C.F.R. 1.16(a), (f) or (g) (filing fees)
- ☒ 37 C.F.R. 1.16(b), (c) and (d) (presentation of extra claims)

**NOTE:** Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 C.F.R. 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

- ☒ 37 C.F.R. 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
- ☒ 37 C.F.R. §§ 1.17(a)(1)-(5) (extension fees pursuant to § 1.136(a))
- ☒ 37 C.F.R. 1.17 (application processing fees)

**NOTE:** "A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).

- ☐ 37 C.F.R. 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. 1.311(b))

**NOTE:** Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 C.F.R. 1.311(b).

**NOTE:** 37 C.F.R. 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying . . . issue fee . . ." From the wording of 37 C.F.R. 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.

  
\_\_\_\_\_  
SIGNATURE OF PRACTITIONER

Reg. No. 30,557

Christine R. Ethridge  
(type or print name of practitioner)

Tel. No.: (412) 355-8619

Kirkpatrick & Lockhart LLP  
P.O. Address  
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535 Smithfield Street  
Pittsburgh, PA 15222-2312

Customer No. \_\_\_\_\_

[FORM PTO-1619A  
Expires 06/30/99  
OMB 0651-0027

U.S. Department of Commerce  
Patent and Trademark Office  
**PATENT**

**RECORDATION FORM COVER SHEET  
PATENTS ONLY**

To: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

**Submission Type**

☒ New

☐ Resubmission (Non-Recordation)

Document ID #

☐ Correction of PTO Error

Reel #

Frame #

☐ Corrective Document

Reel #

Frame #

**Conveyance Type**

☒ Assignment

☐ Security Agreement

☐ License

☐ Change of Name

☐ Merger

☐ Other

**U.S. Government**  
(For Use ONLY by U.S. Government Agencies)

☐ Departmental File

☐ Secret File

**Conveying Party(ies)**

☒ Mark If additional names of conveying parties attached

Name (line 1) **Krzysztof Matviaszewski**

Execution Date  
Month Day Year

**04/18/2000**

Name (line 2)

**Second Party**

Name (line 1) **Scott G. Gaynor**

Execution Date  
Month Day Year

**04/18/2000**

Name (line 2)

**Receiving Party**

☐ Mark If additional names of receiving parties attached

Name (line 1) **Carnegie Mellon University**

☐ If document to be recorded  
is an assignment and the  
receiving party is not  
domiciled in the United  
States, an appointment  
of a domestic  
representative is attached.  
(Designation must be a  
separate document from  
Assignment.)

Name (line 2)

Address (line 1) **5000 Forbes Avenue**

Address (line 2)

Address (line 3) **Pittsburgh**

City

**PA**

State/Country

**15213**

Zip Code

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Area Code and Telephone Number (412) 355-8619

Name Christine R. Ethridge, Esquire

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Address (line 2) Henry W. Oliver Building

Address (line 3) 535 Smithfield Street

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# 5

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09/534827		

Patent Number(s)


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Month Day Year

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*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.*

Christine R. Ethridge

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Date

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Name (line 1) Hyun-iong Paik

04/18/2000

Name (line 2)

Execution Date  
Month Day Year

Name (line 1) Tomislav Pintauer

04/18/2000

Name (line 2)

Execution Date  
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Name (line 1) Jeff Pyun

04/18/2000

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Name (line 1)

Jian Qiu

04/18/2000

Name (line 2)

Execution Date  
Month Day Year

Name (line 1)

Mircea Teodorescu

04/26/2000

Name (line 2)

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Jianhui Xia

04/18/2000

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## PATENT

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Name (line 1)

Xuan Zhang

Execution Date  
Month Day Year

04/19/2000

Name (line 2)

Execution Date  
Month Day Year

04/18/2000

Name (line 1)

Peter J. Miller

Name (line 2)

Execution Date  
Month Day Year

Name (line 1)

Name (line 2)

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## Patent Application Number(s)

## Patent Number(s)



Attorney's Docket No. 00093

**PATENT**

For: ☒ U.S. and/or ☒ Foreign Rights  
For: ☒ U.S. Application or  
☐ U.S. Provisional Application  
For: ☐ U.S. Patent  
For: ☐ PCT Application  
By: Multiple Inventors

**ASSIGNMENT OF INVENTION (MULTIPLE INVENTORS)**

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

**ASSIGNORS (Inventors):**

Krzysztof Matyjaszewski

(type or print name of inventors)

9 Queens Court

Pittsburgh, PA 15238

USA

Address

Nationality

Scott G. Gaynor

228 Woodside Road

Pittsburgh, PA 15221

USA

Hyun-jong Paik

400 N. Neville St. #203

Pittsburgh, PA 15213

S. Korea

Tomislav Pintauer

5644 Beacon Street, Apt. 2R

Pittsburgh, PA 15217

Croatia

Jeff Pyun

4750 Centre Avenue, Apt. #3

Pittsburgh, PA 15213

USA

Jian Qiu

4910 Centre Avenue, Apt. E-12

Pittsburgh, PA 15213 Peoples Rep. Of China

Mircea Teodorescu

1 Gh. Polizu Street

Bucharest 78126 Romania

Romania

Jianhui Xia

358 Oakland Avenue, Apt. 3

Pittsburgh, PA 15213 Peoples Rep. Of China

Xuan Zhang

2 Mikaila Way

Woburn, MA 01801 Peoples Rep. Of China

Peter J. Miller

140 Forest Glen Drive

Imperial, PA 15126

USA

hereby sells, assigns and transfers to

ASSIGNEE:

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(type or print name of ASSIGNEE)

5000 Forbes Avenue  
Address

(a Non-profit Pennsylvania organization)  
Nationality

Pittsburgh, PA 15213

and the successors, assigns and legal representatives of the ASSIGNEE

(complete one of the following)

☒ the entire right, title and interest

☐ an undivided \_\_\_\_\_ percent ( \_\_\_\_\_ %) interest for the United States and its territorial possessions

(check the following box, if foreign rights are also to be assigned)

☒ and in all foreign countries, including all rights to claim priority, in and to any and all improvements which are disclosed in the invention entitled: **CATALYTIC PROCESSES FOR THE CONTROLLED POLYMERIZATION OF FREE RADICALLY (Co)POLYMERIZABLE MONOMERS AND FUNCTIONAL POLYMERIC SYSTEMS PREPARED THEREBY**

(check and complete (a), (b), (c), (d), (e), (f) or (g))

and which is found in

(a) ☐ U.S. patent application executed on even date herewith

(b) ☐ U.S. patent application executed on \_\_\_\_\_

(c) ☐ U.S. provisional application naming the above inventor(s) for the above-entitled invention

☐ Express mail label no.: \_\_\_\_\_

Mailed: \_\_\_\_\_

☐ To comply with 37 CFR 3.21 for recordal of this assignment, I, an ASSIGNOR signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known.

(d) ☒ U.S. application no.: 09/534,827 filed on March 23, 2000

(e) ☐ International application no. PCT / \_\_\_\_\_ / \_\_\_\_\_  
filed on \_\_\_\_\_

(f) ☐ U.S. patent no. \_\_\_\_\_ issued \_\_\_\_\_

☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.

(also check (g), if foreign application(s) is also being assigned)

- (g) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

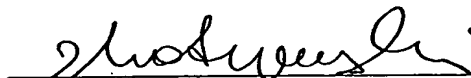
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ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

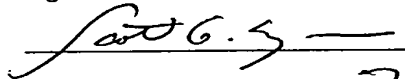
IN WITNESS WHEREOF, We have hereunto set hand and seal this \_\_\_\_\_ Date of signing

WARNING: The date of signing must be the same as the date of execution of the application, if item (a) was checked above.


Krzysztof Matyjaszewski  
(type name of Inventor)

 4/18/2000  
Signature of INVENTOR Date

Scott G. Gaynor

 4/18/2000  
Date

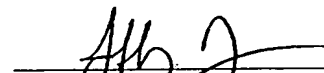
Hyun-jong Paik

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Date

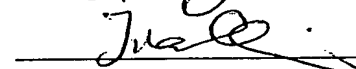
Tomislav Pintauer

 4/18/2000  
Date

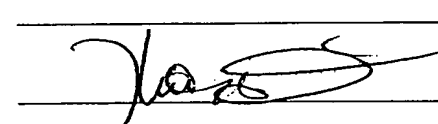
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Jian Qiu

 4/18/2000  
Date

Mircea Teodorescu

 4/18/2000  
Date

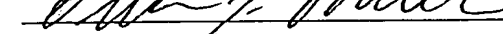
Jianhui Xia

 4/18/2000  
Date

Xuan Zhang

 4/18/2000  
Date

Peter J. Miller

 4/18/2000  
Date

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- (g) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, We have hereunto set hand and seal this April 19, 2000  
Date of signing

WARNING: The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

Krzysztof Matyjaszewski  
(type name of Inventor)

Signature of INVENTOR

Scott G. Gaynor

Hyun-jong Paik

Tomislav Pintauer

Jeff Pyun

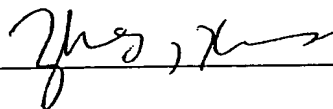
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ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

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IN WITNESS WHEREOF, We have hereunto set hand and seal this April 26, 2000  
Date of signing

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Krzysztof Matyjaszewski  
(type name of Inventor)

Signature of INVENTOR

Scott G. Gaynor

Hyun-jong Paik

Tomislav Pintauer

Jeff Pyun

Jian Qiu

Mircea Teodorescu

*M Teodorescu*

Jianhui Xia

Xuan Zhang

Peter J. Miller

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Matyjaszewski et al.

Application No.: 09/534,827

Group No.: -

Filed: March 23, 2000

Examiner:

For: CATALYTIC PROCESSES FOR THE CONTROLLED POLYMERIZATION OF FREE RADICALLY  
(Co)POLYMERIZABLE MONOMERS AND FUNCTIONAL POLYMERIC SYSTEMS PREPARED  
THEREBY

Assistant Commissioner for Patents  
Washington, DC 20231

STATEMENT BY PRACTITIONER THAT APPLICATION FILED IN PTO  
IS THE ONE INVENTOR EXECUTED BY SIGNING DECLARATION

NOTE: This form is to be used when the declaration only indicates the name(s) of the inventor(s) and the title of the invention. Notice of  
September 12, 1983, 1035 O.G. 3.

I,

Christine R. Ethridge

Name of Practitioner

Kirkpatrick & Lockhart LLP

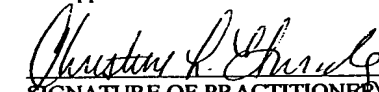
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Henry W. Oliver Building, 535 Smithfield Street, Pittsburgh, Pennsylvania 15222-2312

Reg. No. 30,557

Tel. No. (412) 355-8619

state I am the registered practitioner for this application and the application identified above is the application that the inventor(s) executed by  
signing the declaration that is being submitted herewith.

  
SIGNATURE OF PRACTITIONER

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(type or print name of person certifying)

(Statement by Practitioner That Application Filed in PTO is the One Inventor Executed by Signing Declaration)

[5-10]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
37 C.F.R. § 3.73(b) Statement

Applicants: Matyjaszewski et al.

For: CATALYTIC PROCESSES FOR THE CONTROLLED  
POLYMERIZATION OF FREE RADICALLY (Co)POLYMERIZABLE  
MONOMERS AND FUNCTIONAL POLYMERIC SYSTEMS PREPARED  
THEREBY

Serial No.: 09/534,827

Filed: March 23, 2000

Carnegie Mellon University (a non-profit Pennsylvania organization) is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the United States Patent and Trademark Office on \_\_\_\_\_ at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s) of the patent application identified above to the current assignee as shown below:

1. From K. Matyjaszewski et al. To: Carnegie Mellon University

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☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Power Of Attorney

I hereby revoke all previous powers of attorney, if any, and appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Michael G. Biro	Reg. No. P-46,556	James R. Kyper,	Reg. No. 27,346
Carol I. Bordas,	Reg. No. 37,284	Mark R. Leslie,	Reg. No. 36,360
Roberto Capriotti	Reg. No. P-46,599	Franklin B. Molin,	Reg. No. 37,397
George D. Dickos,	Reg. No. 30,048	Robert A. Muha,	Reg. No. 44,249
Thomas J. Edgington,	Reg. No. 34,324	Donald R. Palladino	Reg. No. P-46,976
Christine R. Ethridge,	Reg. No. 30,557	Jonathan C. Parks,	Reg. No. 40,120
Richard W. James,	Reg. No. 43,690	Bernard G. Pike	Reg. No. P-46,993
James M. Joyce,	Reg. No. 43,700	Benjamin T. Queen, II	Reg. No. 41,260
Mark G. Knedeisen,	Reg. No. 42,747	David Schramm	Reg. No. 41,295
William E. Kuss,	Reg. No. 41,919	Robert D. Yeager	Reg. No. 25,047

Please Direct All Correspondence to: Christine R. Ethridge, Esq.  
Kirkpatrick & Lockhart, LLP  
Henry W. Oliver Building  
535 Smithfield Street  
Pittsburgh, PA 15222-2312

**Declaration**

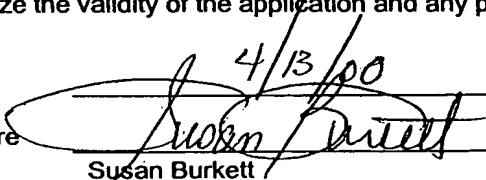
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Date

Signature

Name

Title

4/13/00  
  
Susan Burkett

Associate Provost



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

OCTOBER 03, 2000

KIRKPATRICK & LOCKHART LLP  
CHRISTINE R. ETHRIDGE  
535 SMITHFIELD STREET  
HENRY W. OLIVER BUILDING  
PITTSBURGH, PA 15222-2312

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OCT 11 2000

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RECORDATION DATE: 07/13/2000

REEL/FRAME: 010999/0482  
NUMBER OF PAGES: 11

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

MATYIASZEWSKI, KRZYSZTOF

DOC DATE: 04/18/2000

ASSIGNOR:

GAYNOR, SCOTT G.

DOC DATE: 04/18/2000

ASSIGNOR:

PAIK, HYUN-JONG

DOC DATE: 04/18/2000

ASSIGNOR:

PINTAUER, TOMISLAY

DOC DATE: 04/18/2000

ASSIGNOR:

PYUN, JEFF

DOC DATE: 04/18/2000

ASSIGNOR:

QIU, JIAN

DOC DATE: 04/18/2000

ASSIGNOR:

TEODORESCU, MIRCEA

DOC DATE: 04/26/2000

DOCKETED

OCT 11 2000

TERRI WATSON

010999/0482 PAGE 2

ASSIGNOR:

XIA, JIANHUI

DOC DATE: 04/18/2000

ASSIGNOR:

ZHANG, XUAN

DOC DATE: 04/19/2000

ASSIGNOR:

MILLER, PETER J.

DOC DATE: 04/18/2000

ASSIGNEE:

CARNEGIE MELLON UNIVERSITY  
5000 FORBES AVENUE  
PITTSBURGH, PENNSYLVANIA 15213

SERIAL NUMBER: 09534827

FILING DATE: 03/23/2000

PATENT NUMBER:

ISSUE DATE:

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ASSIGNMENT DIVISION  
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FORM PTO-1619A  
Expires 06/30/99  
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## Correspondent Name and Address

Area Code and Telephone Number (412) 355-8619

Name Christine R. Ethridge, Esquire

Address (line 1) Kirkpatrick &amp; Lockhart LLP

Address (line 2) Henry W. Oliver Building

Address (line 3) 535 Smithfield Street

Address (line 4) Pittsburgh, PA 15222-2312

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## Patent Number(s)

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Christine R. Ethridge

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*Christine R. Ethridge*

Signature

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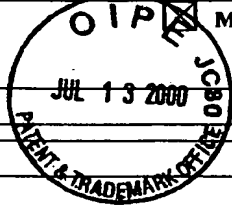
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## Conveying Party(ies)

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Execution Date  
Month Day Year

Name (line 1) Hyun-iong Paik

04/18/2000

Name (line 2)

Execution Date  
Month Day Year

Name (line 1) Tomislav Pintauer

04/18/2000

Name (line 2)

Execution Date  
Month Day Year

Name (line 1) Jeff Pyun

04/18/2000

Name (line 2)

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Jian Qiu

Execution Date

Month Day Year

04/18/2000

Name (line 2)

Name (line 1)

Mircea Teodorescu

Execution Date

Month Day Year

04/26/2000

Name (line 2)

Name (line 1)

Jianhui Xia

Execution Date

Month Day Year

04/18/2000

Name (line 2)

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Name (line 1)

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Name (line 1) Xuan Zhang

Execution Date  
Month Day Year

04/19/2000

Name (line 2)

Name (line 1) Peter J. Miller

Execution Date  
Month Day Year

04/18/2000

Name (line 2)

Name (line 1)

Execution Date  
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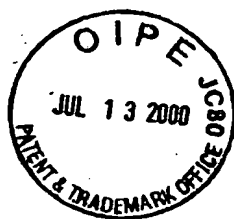
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Attorney's Docket No. 00093

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☐ U.S. Provisional Application  
For: ☐ U.S. Patent  
For: ☐ PCT Application  
By: Multiple Inventors

**ASSIGNMENT OF INVENTION (MULTIPLE INVENTORS)**

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

**ASSIGNORS (Inventors):**

Krzysztof Matyjaszewski

(type or print name of inventors)

9 Queens Court  
Pittsburgh, PA 15238  
Address

USA  
Nationality

Scott G. Gaynor

228 Woodside Road  
Pittsburgh, PA 15221

USA

Hyun-jong Paik

400 N. Neville St. #203  
Pittsburgh, PA 15213

S. Korea

Tomislav Pintauer

5644 Beacon Street, Apt. 2R  
Pittsburgh, PA 15217

Croatia

Jeff Pyun

4750 Centre Avenue, Apt. #3  
Pittsburgh, PA 15213

USA

Jian Qiu

4910 Centre Avenue, Apt. E-12  
Pittsburgh, PA 15213 Peoples Rep. Of China

Mircea Teodorescu

1 Gh. Polizu Street  
Bucharest 78126 Romania

Romania

Jianhui Xia

358 Oakland Avenue, Apt. 3  
Pittsburgh, PA 15213 Peoples Rep. Of China

Xuan Zhang

2 Mikaila Way  
Woburn, MA 01801 Peoples Rep. Of China

Peter J. Miller

140 Forest Glen Drive  
Imperial, PA 15126

USA

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and the successors, assigns and legal representatives of the ASSIGNEE

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(check and complete (a), (b), (c), (d), (e), (f) or (g))

and which is found in

(a) ☐ U.S. patent application executed on even date herewith

(b) ☐ U.S. patent application executed on \_\_\_\_\_

(c) ☐ U.S. provisional application naming the above inventor(s) for the above-entitled invention

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(d) ☒ U.S. application no.: 09/534,827 filed on March 23, 2000

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filed on \_\_\_\_\_

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(also check (g), if foreign application(s) is also being assigned)

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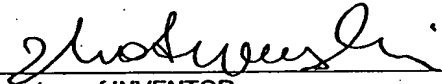
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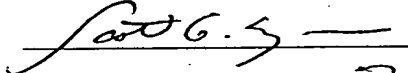
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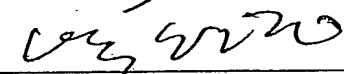
Krzysztof Matyjaszewski  
(type name of Inventor)

 4/18/2000  
Signature of INVENTOR Date

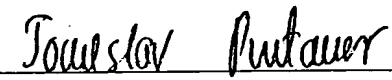
Scott G. Gaynor

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Date

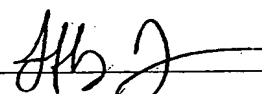
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Tomislav Pintauer

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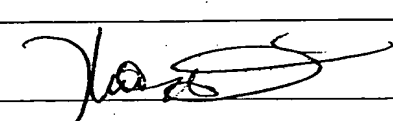
Jeff Pyun

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Date


Jian Qiu

 4/18/2000  
Date

Mircea Teodorescu

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Date

Jianhui Xia

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Date

Xuan Zhang

 4/18/2000  
Date

Peter J. Miller

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IN WITNESS WHEREOF, We have hereunto set hand and seal this April 19, 2000 Date of signing

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Krzysztof Matyjaszewski  
(type name of Inventor)

Signature of INVENTOR

Scott G. Gaynor

Hyun-jong Paik

Tomislav Pintauer

Jeff Pyun

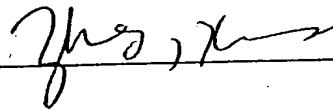
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IN WITNESS WHEREOF, We have hereunto set hand and seal this April 26, 2000  
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Krzysztof Matyjaszewski  
(type name of Inventor)

Signature of INVENTOR

Scott G. Gaynor

Hyun-jong Paik

Tomislav Pintauer

Jeff Pyun

Jian Qiu

Mircea Teodorescu

Jianhui Xia

Xuan Zhang

Peter J. Miller

*M. Teodorescu*

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(Assignment of Invention-Multiple Inventors [16-3.2]-page 3 of 3)





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JUNE 15, 2000

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RECORDATION DATE: 06/09/2000

REEL/FRAME: 010697/0967  
NUMBER OF PAGES: 11

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

MATYIASZEWSKI, KRZYSZTOF

DOC DATE: 04/18/2000

ASSIGNOR:

GAYNOR, SCOTT G.

DOC DATE: 04/18/2000

ASSIGNOR:

PAIK, HYUN-JONG

DOC DATE: 04/18/2000

ASSIGNOR:

PINTAUER, TOMISLAV

DOC DATE: 04/18/2000

ASSIGNOR:

PYUN, JEFF

DOC DATE: 04/18/2000

ASSIGNOR:

ZHANG, XUAN

DOC DATE: 04/19/2000

ASSIGNOR:

MILLER, PETER J.

DOC DATE: 04/18/2000

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TERRI WATSON

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KIRKPATRICK & LOCKHART LLP

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ASSIGNOR:

QIU, JIAN

DOC DATE: 04/18/2000

ASSIGNOR:

TEODORESCU, MIRCEA

DOC DATE: 04/26/2000

ASSIGNOR:

XIA, JIANHUI

DOC DATE: 04/18/2000

ASSIGNEE:

CARNEGIE MELLON UNIVERSITY  
5000 FORBES AVENUE  
PITTSBURGH, PENNSYLVANIA 15213

SERIAL NUMBER: 09534827

FILING DATE: 03/23/2000

PATENT NUMBER:

ISSUE DATE:

TONYA LEE, EXAMINER  
ASSIGNMENT DIVISION  
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## Conveying Party(ies)

☒ Mark if additional names of conveying parties attached

Name (line 1) Krzysztof Matyjaszewski

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Execution Date  
Month Day Year

04/18/2000

## Second Party

Name (line 1) Scott G. Gaynor

Name (line 2)

Execution Date  
Month Day Year

04/18/2000

## Receiving Party

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Name (line 1) Carnegie Mellon University

Name (line 2)

Address (line 1) 5000 Forbes Avenue

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PA

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Month Day Year

**Patent Cooperation Treaty (PCT)**

Enter PCT application number only if a U.S. Application Number has not been assigned.

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PCT <input type="text"/>	PCT <input type="text"/>	PCT <input type="text"/>

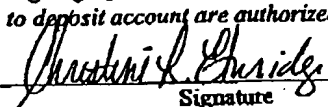
**Number of Properties**

Enter the total number of properties involved.

#

**Fee Amount**

Fee Amount for Properties Listed (37 CFR 3.41): \$

<b>Method of Payment:</b> <b>Deposit Account</b> (Enter for payment by deposit account or if additional fees can be charged to the account.)	Enclosed <input type="checkbox"/>	Deposit Account <input checked="" type="checkbox"/>
Deposit Account Number:	#	11-1110
Authorization to charge additional fees:		Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
<b>Statement and Signature</b>		
<i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.</i>		
Christine R. Ethridge		6/8/00
Name of Person Signing	Signature	Date

**Conveying Party(ies)**  
Enter additional Conveying Parties

☒ Mark if additional names of conveying parties attached

Name (line 1)  
Name (line 2)

Hyun-jong Paik

Execution Date  
Month Day Year  
04/18/2000

Name (line 1)  
Name (line 2)

Tomislav Pintauer

Execution Date  
Month Day Year  
04/18/2000

Name (line 1)  
Name (line 2)

Jeff Pyun

Execution Date  
Month Day Year  
04/18/2000

**Receiving Party(ies)**  
Enter additional Receiving Party(ies)

☐ Mark if additional names of receiving parties attached

Name (line 1)  
Name (line 2)  
Address (line 1)  
Address (line 2)  
Address (line 3)  
City State/Country Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Name (line 1)  
Name (line 2)  
Address (line 1)  
Address (line 2)  
Address (line 3)  
City State/Country Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

**Application Number(s) or Patent Number(s)**  
Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

☐ Mark if additional numbers attached

Patent Application Number(s)

Patent Number(s)


**Conveying Party(ies)**

Enter additional Conveying Parties

☐ Mark if additional names of conveying parties attached

Name (line 1) Xuan Zhang

Execution Date  
Month Day Year

04/19/2000

Name (line 2)

Name (line 1) Peter J. Miller

Execution Date  
Month Day Year

04/18/2000

Name (line 2)

Name (line 1)

Execution Date  
Month Day Year

Name (line 2)

**Receiving Party(ies)**

Enter additional Receiving Party(ies)

☐ Mark if additional names of receiving parties attached

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)**Application Number(s) or Patent Number(s)**☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

**Patent Application Number(s)****Patent Number(s)**



<b>FORM PTO-1619C</b> Expires 06/30/99 OMB 0651-0027	<b>RECORDATION FORM COVER SHEET</b> <b>CONTINUATION</b> <b>PATENTS ONLY</b>	<b>U.S. Department of Commerce</b> <b>Patent and Trademark Office</b> <b>PATENT</b>
<b>Conveying Party(ies)</b> <input checked="" type="checkbox"/> Mark if additional names of conveying parties attached <i>Enter additional Conveying Parties</i>		
Name (line 1)	<input type="text" value="Jian Qiu"/>	Execution Date Month Day Year <input type="text" value="04/18/2000"/>
Name (line 2)	<input type="text"/>	
Name (line 1)	<input type="text" value="Mircea Teodorescu"/>	Execution Date Month Day Year <input type="text" value="04/26/2000"/>
Name (line 2)	<input type="text"/>	
Name (line 1)	<input type="text" value="Jianhui Xia"/>	Execution Date Month Day Year <input type="text" value="04/18/2000"/>
Name (line 2)	<input type="text"/>	
<b>Receiving Party(ies)</b> <input type="checkbox"/> Mark if additional names of receiving parties attached <i>Enter additional Receiving Party(ies)</i>		
Name (line 1)	<input type="text"/>	<input type="checkbox"/> If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)
Name (line 2)	<input type="text"/>	
Address (line 1)	<input type="text"/>	
Address (line 2)	<input type="text"/>	<input type="checkbox"/> If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)
Address (line 3)	<input type="text"/>	
City	State/Country	
Name (line 1)	<input type="text"/>	<input type="checkbox"/> If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)
Name (line 2)	<input type="text"/>	
Address (line 1)	<input type="text"/>	
Address (line 2)	<input type="text"/>	<input type="checkbox"/> If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)
Address (line 3)	<input type="text"/>	
City	State/Country	
<b>Application Number(s) or Patent Number(s)</b> <input type="checkbox"/> Mark if additional numbers attached <i>Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).</i>		
<b>Patent Application Number(s)</b>		<b>Patent Number(s)</b>
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<input type="text"/>	<input type="text"/>	<input type="text"/>



Attorney's Docket No. 00093

**PATENT**

For: ☒ U.S. and/or ☒ Foreign Rights  
For: ☒ U.S. Application or  
☐ U.S. Provisional Application  
For: ☐ U.S. Patent  
For: ☐ PCT Application  
By: Multiple Inventors

**ASSIGNMENT OF INVENTION (MULTIPLE INVENTORS)**

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

**ASSIGNORS (Inventors):**

<u>Krzysztof Matylaszewski</u> (type or print name of inventors)	<u>9 Queens Court</u> <u>Pittsburgh, PA 15238</u> Address	<u>USA</u> Nationality
<u>Scott G. Gaynor</u>	<u>228 Woodside Road</u> <u>Pittsburgh, PA 15221</u>	<u>USA</u>
<u>Hyun-jong Paik</u>	<u>400 N. Neville St. #203</u> <u>Pittsburgh, PA 15213</u>	<u>S. Korea</u>
<u>Tomislav Pintauer</u>	<u>5644 Beacon Street, Apt. 2R</u> <u>Pittsburgh, PA 15217</u>	<u>Croatia</u>
<u>Jeff Pyun</u>	<u>4750 Centre Avenue, Apt. #3</u> <u>Pittsburgh, PA 15213</u>	<u>USA</u>
<u>Jian Qiu</u>	<u>4910 Centre Avenue, Apt. E-12</u> <u>Pittsburgh, PA 15213</u>	<u>Peoples Rep. Of China</u>
<u>Mircea Teodorescu</u>	<u>1 Gh. Polizu Street</u> <u>Bucharest 78126 Romania</u>	<u>Romania</u>
<u>Jianhui Xia</u>	<u>358 Oakland Avenue, Apt. 3</u> <u>Pittsburgh, PA 15213</u>	<u>Peoples Rep. Of China</u>
<u>Xuan Zhang</u>	<u>2 Mikaila Way</u> <u>Woburn, MA 01801</u>	<u>Peoples Rep. Of China</u>
<u>Peter J. Miller</u>	<u>140 Forest Glen Drive</u> <u>Imperial, PA 15126</u>	<u>USA</u>

PI-512907.01

hereby sells, assigns and transfers to

ASSIGNEE:

Carnegie Mellon University  
(type or print name of ASSIGNEE)  
(a Non-profit Pennsylvania organization)  
Nationality

5000 Forbes Avenue  
Address  
Pittsburgh, PA 15213

and the successors, assigns and legal representatives of the ASSIGNEE

(complete one of the following)

- ☒ the entire right, title and interest
- ☐ an undivided \_\_\_\_\_ percent (\_\_\_\_\_% ) interest for the United States and its territorial possessions

(check the following box, if foreign rights are also to be assigned)

☒ and in all foreign countries, including all rights to claim priority, in and to any and all improvements which are disclosed in the invention entitled: **CATALYTIC PROCESSES FOR THE CONTROLLED POLYMERIZATION OF FREE RADICALLY (Co)POLYMERIZABLE MONOMERS AND FUNCTIONAL POLYMERIC SYSTEMS PREPARED THEREBY**

(check and complete (a), (b), (c), (d), (e), (f) or (g))

and which is found in

- (a) ☐ U.S. patent application executed on even date herewith
- (b) ☐ U.S. patent application executed on \_\_\_\_\_
- (c) ☐ U.S. provisional application naming the above inventor(s) for the above-entitled invention
- ☐ Express mail label no.: \_\_\_\_\_

Mailed: \_\_\_\_\_

- ☐ To comply with 37 CFR 3.21 for recordal of this assignment, I, an ASSIGNOR signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known.

- (d) ☒ U.S. application no.: 09/534,827 filed on March 23, 2000
- (e) ☐ International application no. PCT / \_\_\_\_\_  
filed on \_\_\_\_\_
- (f) ☐ U.S. patent no. \_\_\_\_\_ issued \_\_\_\_\_

- ☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.

(Assignment of Invention—Multiple Inventors [16-3.2]—page 2 of 3)

(also check (g), if foreign application(s) is also being assigned)

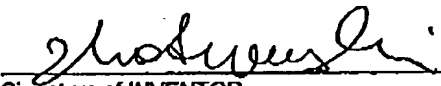
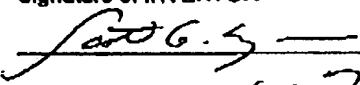
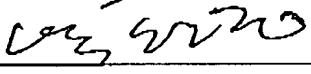
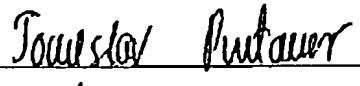
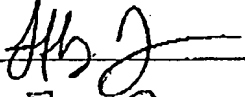

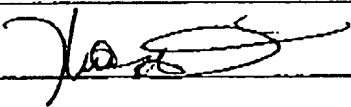
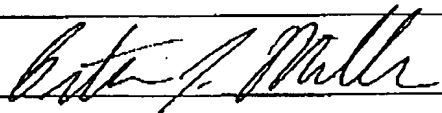
- (g) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, We have hereunto set hand and seal this \_\_\_\_\_ Date of signing

WARNING: The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

<u>Krzysztof Matylaszewski</u> (type name of inventor)	<u></u> Signature of INVENTOR	<u>4/18/2000</u> Date
<u>Scott G. Gaynor</u>	<u></u>	<u>4/18/2000</u> Date
<u>Hyun-iong Paik</u>	<u></u>	<u>4/18/2000</u> Date
<u>Tomislav Pintauer</u>	<u></u>	<u>4/18/2000</u> Date
<u>Jeff Pyun</u>	<u></u>	<u>4/18/2000</u> Date
<u>Jian Qiu</u>	<u></u>	<u>4/18/2000</u> Date
<u>Mircea Teodorescu</u>	_____	_____
<u>Jianhui Xia</u>	<u></u>	<u>4/18/2000</u> Date
<u>Xuan Zhang</u>	_____	_____
<u>Peter J. Miller</u>	<u></u>	<u>4/18/2000</u> Date

☐ Notarization or Legalization Page Added.

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized, then it will only be prima facie evidence of execution. 35 USC 261. Use next page if notarization is desired.

(Assignment of Invention—Multiple Inventors [16-3.2]—page 3 of 3)

(also check (g), if foreign application(s) is also being assigned)

- (g) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, We have hereunto set hand and seal this April 19, 2000  
Date of signing

WARNING: The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

Krzysztof Matyjaszewski  
(type name of inventor)

Signature of INVENTOR

Scott G. Gaynor

Hyun-jong Park

Tomislav Pintauer

Jeff Pyun

Jian Qiu

Mircea Teodorescu

Jianhui Xia

Xuan Zhang

Peter J. Miller

☐ Notarization or Legalization Page Added.

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized, then it will only be prima facie evidence of execution. 35 USC 261. Use next page if notarization is desired.

(Assignment of Invention-Multiple Inventors [16-3.2]-page 3 of 3)

(also check (g), if foreign application(s) is also being assigned)

- (g) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, We have hereunto set hand and seal this April 26, 2000

Date of signing

WARNING: The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

Krzysztof Matyjaszewski  
(type name of Inventor)

Signature of INVENTOR

Scott G. Gaynor

Hyun-jong Paik

Tomislav Pintauer

Jeff Pyun

Jian Qiu

Mircea Teodorescu

*Teodorescu*

Jianhui Xia

Xuan Zhang

Peter J. Miller

☐ Notarization or Legalization Page Added.

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized, then it will only be prima facie evidence of execution. 35 USC 261. Use next page if notarization is desired.

(Assignment of Invention—Multiple Inventors [16-3.2]—page 3 of 3)